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PATENT
81716.0122

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

AKASAKI, et al.

Serial No: 10/810,309

Filed: March 26, 2004

For: Semiconductor Apparatus, Method
for Growing Nitride Semiconductor
and Method for Producing
Semiconductor Apparatus

Art Unit: 2811

Examiner: Not Assigned

I hereby certify that this correspondence
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Name

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**TRANSMITTAL OF
INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

1. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application other than a continued prosecution application, or within three months of the date of entry into the national stage of an international application, or before the mailing date of a first Office Action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under §1.114, whichever event occurs last. 37 C.F.R. §1.97(b).
2. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(b), but *before* the mailing date of a final action under §1.113, or a notice of allowance under §1.311, or an action that otherwise closes prosecution in the application, whichever occurs first. A statement specified in §1.97(e) or a fee set forth in §1.17(p) is included. 37 C.F.R. §1.97(c).

§1.97(e) STATEMENT

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification

after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

OR FEE

- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c). (\$180.00). [OR:] Please charge the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(c) (\$180.00) to Deposit Account No. 50-1314. A copy of this petition is enclosed.
3. ☐ The information disclosure statement transmitted herewith is being filed *after* the period specified in §1.97(c), but before, or simultaneously with the payment of the issue fee. A statement specified in §1.97(e) and a fee set forth in §1.17(p) are included. 37 C.F.R. §1.97(d).

§1.97(e) STATEMENT

I, the person signing below, state:

- ☐ that each item of information contained in the information disclosure statement was first cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(1).

OR

- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the certification after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. §1.97(e)(2).

AND FEE


- ☐ Attached is a fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under §1.97(d). (\$180.00).
4. ☒ If it should be determined that for any reason either an insufficient fee or an excessive has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-1314. **A copy of this petition is enclosed.**
5. ☒ A list of 10 reference(s) is in the enclosed Form PTO-1449.

NON-ENGLISH LANGUAGE REFERENCES

- ☐ Enclosed is a search report for a counterpart application. The search report Examiner has provided comments on the relevancy of any non-English language references cited in the search report.
- ☐ The specification incorporates comments on the relevancy of Non-English language references.
- ☐ Set forth below are comments provided by the applicant's home country counsel on the relevancy of non-English language references:

Respectfully submitted,
HOGAN & HARTSON LLP.

By: _____


Anthony J. Orler
Registration No. 41,232
Attorney for Applicant(s)

Date: June 28, 2004

Biltmore Tower
500 South Grand Avenue, Suite 1900
Los Angeles, CA 90071
Telephone: (213) 337-6700
Facsimile: (213) 337-6701

FORM PTO-1449

Docket Number (Optional)
81716.0122Application Number
10/810,309INFORMATION DISCLOSURE CITATION
IN AN APPLICATION

Applicant

AKASAKI, et al.

Filing Date

March 26, 2004

Group Art Unit

2811

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|--|----------|-----------------|-------|----------|-------------------------------|
| | 5,122,845 (counterpart Japanese App. 2-229476) | 06/16/92 | MANABE, et al. | | | |
| | 4,855,249 (counterpart Japanese App. 62-119196) | 08/08/89 | AKASAKI, et al. | | | |
| | 6,566,218 (counterpart Japanese App. 2002-043223) | 05/20/03 | OTANI, et al. | | | |
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FOREIGN PATENT DOCUMENTS

| EX | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
|----|--|----------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
| | 4-321280 | 11/11/92 | JAPAN | | | Abstract | |
| | 62-119196 (counterpart U.S. Patent 4,855,249) | 05/30/87 | JAPAN | | | Abstract | |
| | 2-229476 (counterpart U.S. Patent 5,122,845) | 09/12/90 | JAPAN | | | Abstract | |
| | 2002-043223 (counterpart U.S. Patent 2002-043223) | 02/08/02 | JAPAN | | | Abstract | |
| | | | | | | | |

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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|--|---|
| | SUDA, et al., "Heteroepitaxial Growth of Group-III Nitrides on Lattice-Matched Metal Boride ZrB ₂ (0001) by Molecular Beam Epitaxy - Department of Electronic Science and Engineering, Kyoto University - 13 th International Conference Crystal Growth, August, 2001, 02a-SB2-20 |
| | YUKAWA, et al. - 62 nd Autumn Meeting, 2001; Japan Society of Applied Physics, 12-R-14 |
| | Yohei YUKAWA, "Study on the crystal growth and properties of group-III nitride semiconductors on ZrB ₂ substrates by metalorganic vapor phase epitaxy" Department of Electronic Science and Engineering Graduate School of Meijo University |
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| | |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.